



DPW 3731

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Richard B. Streeter  
Serial No.: 10/022,951  
Filing Date: 12/14/2001  
Title: APPARATUS AND METHOD FOR REPLACING  
AORTIC VALVE  
Group Art Unit: 3731  
Examiner: B. Pantuck  
Attorney's Docket No.: VIA-15

Mail Stop Amendment  
Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313

Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 CFR 1.56, 1.97 and 1.98, Applicant hereby submits documents and information which may be considered material to the examination of this application. These documents and information are listed on the accompanying forms.

Copies of documents 1-72, which are listed on the accompanying Form PTO/SB/08 (substitute for Form PTO-1449), are enclosed herewith.

Applicant respectfully requests that these documents be fully considered by the U.S. Patent and Trademark Office during the examination of this application and printed on any patent which may issue on this application. Applicant also respectfully requests that a copy of the Form PTO/SB/08 (substitute for Form PTO-1449) (four pages), submitted herewith, as considered and initialed by the Examiner, be returned to the undersigned with the next communication.

It is believed that this disclosure complies with the requirements of 37 CFR 1.56, 1.97 and 1.98. If for any reason the Examiner considers otherwise, it is respectfully requested that the undersigned be contacted by the Examiner by telephone in order that any deficiencies may be expeditiously remedied.

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A check in the amount of One Hundred Eighty Dollars (\$180.00) payable to the Commissioner of Patents and Trademarks also is enclosed herewith to cover the fee due in connection with this submission.

The enclosed documents may have markings thereon. Applicant is not presently aware of the source of those markings, and no significance is meant to be attached thereto.

Please charge any additional fees due in connection with this submission, or credit any overpayment, to Deposit Account No. 16-0221. A duplicate copy of this submission is enclosed for the convenience of the Examiner.

Thank you.

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL, POSTAGE PREPAID, IN AN ENVELOPE ADDRESSED TO: COMMISSIONER FOR PATENTS, PO BOX 1450, ALEXANDRIA, VA 22313-1450, ON:

October 8, 2004

(DATE OF DEPOSIT)

James A. Sheridan

(NAME OF ATTORNEY)

(SIGNATURE)

October 8, 2004

(DATE OF SIGNATURE)

Respectfully submitted,

*James A. Sheridan 10/08/04*

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PTO/SB/08A (10-96)

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**Substitute for form 1449A/PTO**

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

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**Complete if Known**

Substitute for form 1449A/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>		Application Number	10/022, 951
		Filing Date	12/14/2001
		First Named Inventor	Richard B. Streeter
		Group Art Unit	3731
		Examiner Name	B. Pantuck
Sheet	1	of	4
		Attorney Docket Number	
		VIA-15	

U.S. PATENT DOCUMENTS

Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	1	5,941,896		Kerr	08-24-1999	
	2	5,947,995		Samuels	09-07-1999	
	3	5,954,741		Fox	09-21-1999	
	4	5,954,745		Gertler et al.	09-21-1999	
	5	5,957,949		Leonhardt et al.	09-28-1999	
	6	5,976,172		Homsma et al.	11-02-1999	
	7	5,980,555		Barbut et al.	11-09-1999	
	8	5,989,281		Barbut et al.	11-23-1999	
	9	3,671,979		Moulopoulos	06-27-1972	
	10	3,996,938		Clark, III	12-14-1976	
	11	4,056,854		Boretos et al.	11-08-1977	
	12	4,425,908		Simon	01-17-1984	
	13	4,527,549		Gabbay	07-09-1985	
	14	4,902,272		Milder et al.	02-20-1990	
	15	5,108,419		Reger et al.	04-28-1992	
	16	5,160,342		Reger et al.	11-03-1992	
	17	5,163,953		Vince	11-17-1992	
	18	5,254,097		Schock et al.	10-19-1993	
	19	5,300,086		Gory et al.	04-05-1994	
	20	5,324,304		Rasmussen	06-28-1994	

## **FOREIGN PATENT DOCUMENTS**

Examiner Signature	Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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<b>Examiner Name</b>	B. Pantuck
<b>Attorney Docket Number</b>	VIA-15

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		Number	Kind Code <sup>2</sup> (if known)			
	25	5,329,942		Gunther et al.	07-19-1994	
	26	5,370,685		Stevens	12-06-1994	
	27	5,397,351		Pavcnik et al.	03-14-1995	
	28	5,411,552		Andersen et al.	05-02-1995	
	29	5,509,428		Dunlop	04/23/1996	
	30	5,545,214		Stevens	08/13/1996	
	31	5,549,626		Miller et al.	08/27/1996	
	32	5,554,185		Block et al.	09/10/1996	
	33	5,571,215		Sterman et al.	11/05/1996	
	34	5,584,879		Reimold et al.	12/17/1996	
	35	5,607,465		Camilli	03/04/1997	
	36	5,682,906		Sterman et al.	11/04/1997	
	37	5,702,368		Stevens et al.	12/30/1997	
	38	5,713,951		Garrison et al.	02/03/1998	
	39	5,797,960		Stevens et al.	08/25/1998	
	40	5,800,457		Gelbfish	09/01/1998	
	41	5,800,525		Bachinski et al.	09/01/1998	
	42	5,814,097		Sterman et al.	09/29/1998	
	43	5,848,964		Samuels	12/15/1998	
	44	5,855,597		Jayaraman	01/05/1999	

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				Application Number	10/022, 951
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				Examiner Name	B. Pantuck
Sheet	3	of	4	Attorney Docket Number	VIA-15

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		Number	Kind Code <sup>2</sup> (if known)			
	45	5,855,601		Bessler et al.	01-05-1999	
	46	5,876,367		Kaganov et al.	03-02-1999	
	47	5,893,869		Barnhart et al.	04-13-1999	
	48	5,718,725		Sterman et al.	02-17-1998	
	49	5,910,154		Tsugita et al.	06-08-1999	
	50	5,911,734		Tsugita et al.	06-15-1999	
	51	5,925,063		Khosravi	07-20-1999	
	52	5,928,261		Ruiz	07-27-1999	
	53	5,935,139		Bates	08-10-1999	
	54	5,549,665		Vesely et al.	08-27-1996	
	55	5,728,153		Menkis et al.	03-17-1998	
	56	5,840,081		Andersen et al.	11-24-1998	
	57	6,371,970		Khosravi et al.	04-16-2002	
	58	6,309,399		Barbut et al.	10-30-2001	
	59	6,235,045		Barbut et al.	05-22-2001	
	60	6,334,869		Leonhardt et al.	01-01-2002	
	61	6,395,014		Macoviak et al.	05-28-2002	
	62	5,827,237		Macoviak et al.	10-27-1998	
	63	5,769,816		Barbut et al.	06-23-1998	
	64	5,814,064		Daniel et al.	09-29-1998	

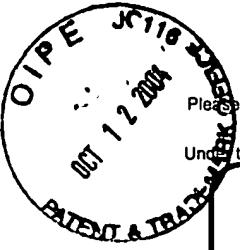
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Application Number	10/022, 951
Filing Date	12/14/2001
First Named Inventor	Richard B. Streeter
Group Art Unit	3731
Examiner Name	B. Pantuck
Attorney Docket Number	VIA-15

(use as many sheets as necessary)

Sheet

4 of 4

**OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS**

Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	65	Antonatos PG, et al., Effect of the positioning of a balloon valve in the aorta on coronary flow during aortic regurgitation, J Thorac Cardiovasc Surg; 1984 Jul; 88(1): 128-33	
	66	Antonatos PG, et al., Intraventricular Pumping At The Mitral Ring In Mitral Regurgitation; Life Support Syst; 1985; 3 Suppl 1:167-71	
	67	Antonatos PG, et al., The Use Of A Small Intra-Aortic Balloon To Increase Coronary Flow; Life Support Syst; 1983 Jul-Sep 1(3): 151-64	
	68	Frederiksen J, et al. Use Of A Counterpulsation Balloon As A Substitute For The Pulmonic Valve: A New Application; Ann Thorac Surg; 1986 Jun; 41(6): 616-21	
	69	Matsubara T, et al., Balloon Catheter With Check Valves For Experimental Relief Of Acute Aortic Regurgitation; Am Heart J; 1992 Oct; 124(4): 1002-8	
	70	Moulopoulos SD, et al., Intra-Aortic Balloon Pump For Relief Of Aortic Regurgitation. Experimental Study, J Thorac Cardiovasc Surg; 1980 Jul; 80(1):38-44	
	71	Siwek LG, et al., Acute Control Of Pulmonary Regurgitation With A Balloon "Valve". An experimental investigation, J Thorac Cardiovasc Surg; 1985 Sep; 90(3):404-9	
	72	Cartwright RS, et al., Combined Replacement Of Aortic And Mitral Valves; J.A.M.A., April 7, 1962;86-90.	

Examiner Signature	Date Considered
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